

06/07/01  
100860 U.S. PTO

SWABEY  
OGILVY RENAULT  
S.E.N.C.

PATENT AND TRADE MARK AGENTS

Kent Daniels - Tel: (613) 230 6072 Ext. 225  
e-mail: kdaniels@swabey.com

June 7, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231  
U.S.A.

Sir:

**Re: New United States Patent Application**  
**Title: PROTECTION SWITCHING IN A MULTI-STAGE SWITCH FABRIC**  
**Inventor(s): Kim B. Roberts, et al.**  
**Assignee: Nortel Networks Limited**  
**Our File: 9-13528-155US KD/bm**

Transmitted herewith for filing is the patent application of:

**INVENTORS: Kim B. ROBERTS**  
**- and -**  
**Dino B. FATICA**

**TITLE OF THE INVENTION:**

**PROTECTION SWITCHING IN A MULTI-STAGE SWITCH FABRIC**

The following documents are enclosed:

- a) Utility Patent Application Transmittal PTO/SB/05
- b) Our cheque No. 008708,  
Fee Transmittal Form PTO/SB/17 (in duplicate) and Patent  
Application Fee Determination Record PTO/SB/06,  
covering:  
Filing Fee \$710.00  
Recording of Assignment \$ 40.00  
**Total Number of Claims: 31**  
Independent claims in excess of 3 (0 @ \$80.00) \$

ROBERT MITCHELL  
GUY J HOULE  
PAUL MARCOUX  
KEVIN P. MURPHY  
JOHN D. MILLER  
ROBERT CARRIER  
JOAN M. VAN ZANT  
MICHEL SOFIA  
FRANCE COTE  
CELINE TREMBLAY  
MAX R. WOOD  
JAMES ANGLEHART  
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PATRICIA SEGUIN  
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BRIAN DALEY  
LEIGH D. CRESTOHL  
JOANNE CHRIQUI  
BENOIT CLERMONT  
LEANNE SOUQUET

*Administrator*  
JAMES A. FRASER

ALAN SWABEY [1909-1990]  
MELVIN SHER [1935-1994]

A FIRM IN WHICH SWABEY, MITCHELL,  
HOULE, MARCOUX & SHER AND  
THE LAW FIRM OGILVY RENAULT  
ARE PARTNERS

Claims in excess of 20 (11 @ \$18.00)	\$198.00
Multiple dependent claim (0 @ \$270.00)	\$
<b>Total</b>	<b>\$ 948.00</b>

- c) Specification/Claims/Abstract
- d) Formal Drawings (4 Sheets - Figs. 1 - 4)
- e) Declaration under 37 CFR 1.63, with  
Patent Application Data Sheet
- f) Power of Attorney
- g) Assignment in favor of Nortel Networks Limited  
with Recordation Form PTO-1619A
- h) Request and Certification under 35 U.S.C. 122(b)(2)(B)(i)
- i) Information Disclosure Statement with PTO Form 1449
- j) Return receipt postcard.

The applicant/inventor(s) qualify for **large** entity status.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to our Account No. 19-5113.

Please note that the address of the agents for the applicant in this matter should be the Montreal address identified in the enclosed Patent Application Data Sheet. Correspondence may be directed to Kent Daniels at the Montreal address of Swabey Ogilvy Renault.

Respectfully submitted,



Kent Daniels  
Reg. No. 44,206  
Agent of Record  
Encls.

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0551-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 9-13528-155US

First Inventor ROBERTS, Kim B.

Title PROTECTION SWITCHING IN A MULTI-STAGE SWITCH FABRIC

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17) (submit original and submit fee processing)
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [Total Pages 30]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]

5. Oath or Declaration [Total Pages 1]

- a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_, \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group: Art Unit \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 020988 or ☐ Correspondence address below  
(Insert Customer No. or Attach Bar Code Label Here)

Name Swabey Ogilvy Renault

Address

City

State

Zip Code

Country

Telephone

613-230-6072

Fax

613-230-6706

Name (Print/Type)

Kent Daniels

Registration No. (Attorney/Agent)

44,206

Signature

K. Daniels

Date

06 06 2001

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 948

## Complete if Known

Application Number Not yet known  
Filing Date  
First Named Inventor ROBERTS, Kim B.  
Examiner Name  
Group Art Unit  
Attorney Docket No. 9-13528-155US

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to
- Deposit Account Number 19-5113
- Deposit Account Name Swabey Ogilvy Renault
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$ 710.00					

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
31	20** = 11	18	198
Independent Claims	- 3** =		0
Multiple Dependent			0

### Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
105	60	205	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 198

\*\*for number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
116	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,380	218	690	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or ressure)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
146	710	246	355	For each additional submission to be examined (37 CFR § 1.129(b))	
170	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40

## SUBMITTED BY

Name (Print/Type) Kent Daniels Registration No. 44,206 Complete (if applicable) Telephone 613-230-6072  
Signature K. Daniels Date 06 06 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**REQUEST AND CERTIFICATION  
UNDER****35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

ROBERTS, Kim B.

Title

PROTECTION SWITCHING IN A MULTI-STAGE SWITCH FABRIC

Atty Docket Number

9-13528-155us

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

06 06 2001

Date

Signature

Kent Daniels (Reg. No. 44,206)

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

**Burden Hour Statement.** This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.